



# STATE OF CALIFORNIA Department of Business Oversight



## EXAMINATION ANNOUNCEMENT SENIOR FINANCIAL INSTITUTIONS EXAMINER PROMOTIONAL EXAMINATION - STATEWIDE

EDMUND G. BROWN JR., Governor

Anna M. Caballero, Agency Secretary  
Jan Lynn Owen, Commissioner of Business Oversight

AN EQUAL OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.

IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE, BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

### PROMOTIONAL EXAMINATION - STATEWIDE

#### WHO MAY APPLY

This is a promotional examination for the Department of Business Oversight (DBO). Applicants must be currently employed with DBO or have eligibility to compete in DBO's promotional examinations and have a permanent civil service appointment without a permanent break in service as of the final filing date.

#### HOW TO APPLY

Applications are available upon request and may be filed in person or by mail. Resumes alone will not be accepted. For your convenience, you may obtain a copy of the STD Form 678 on-line at <http://www.jobs.ca.gov>. Applications not submitted on STD Form 678 will be rejected. Applications must be POSTMARKED no later than the Final Filing date of **February 28, 2014** in order to participate in the exam. Applications postmarked, personally delivered or received via inter-office mail after 5:00 p.m. on the Final Filing date will not be accepted for any reason. **FAXED OR EMAILED APPLICATIONS WILL NOT BE ACCEPTED.**

Submit applications to:

**DEPARTMENT OF BUSINESS OVERSIGHT  
ATTEN: HUMAN RESOURCES/EXAM UNIT  
1515 K STREET, SUITE 200  
SACRAMENTO, CA 95814**

**APPLICANTS MUST PUT EXAM CODE 4CP02 ON THEIR  
APPLICATION**

NOTE: Accepted applicants are required to bring either a photo identification card or two forms of signed identification to each phase of the examination.

**FINAL FILING DATE: FEBRUARY 28, 2014**

**SALARY RANGE: \$5,561 – \$7,310**

#### SPECIAL TESTING ARRANGEMENTS

If you have a disability that requires accommodation, mark the appropriate BOX IN Part 2 of the "Examination Application". You will be contacted about specific testing arrangements.

#### EXAMINATION INFORMATION

This examination will consist of a Written Test. The test is a multiple choice written examination weighted 100%. In order to obtain a position on the eligible list, a minimum rating of 70% must be attained in the written exam. **COMPETITORS WHO DO NOT APPEAR FOR THE WRITTEN EXAM WILL BE DISQUALIFIED.** Please allow approximately 2 hours for the completion of the written test.

Applicants will be scheduled for the location nearest their residence unless otherwise indicated on the application. Applicants will be notified of the written test in their area. It is anticipated that the exam will be held in April 2014.

### REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION

**Note: All applicants must meet the education and or experience requirements for this examination by the written test date.** Your signature on your application indicates that you have read, understood, and possess the basic qualifications required. Qualifying experience may be combined on a proportionate basis if the requirements stated below include more than one pattern and are distinguished as "Either" I "or" II, "or" III, etc. For example, candidates possessing qualifying experience amounting to 50% of the required time of Pattern I, and additional experience amounting to 50% of the required time of Pattern II, may be admitted to the examination as meeting 100% of the overall experience requirement.

#### MINIMUM QUALIFICATIONS

##### Either I

One year of experience in California state service performing the duties of a class at the level of responsibility equivalent to that of Financial Institutions Examiner, Range C.

##### Or II

Four years on increasingly responsible experience in professional auditing or examination of financial institutions, business firms, or services. (Experience in California state service applied toward this requirement must include two years performing the duties of a class at a level of responsibility equivalent to that of a Financial Institutions Examiner, Range C); **and**

Education: Equivalent to graduation from college with a specialization in accounting, business administration, economics, finance, or a related business/management specialization.

NOTE: Applications must contain the following information on all accounting and related courses completed including: title; semester or quarter credits earned; name of institution; and completion date. You may attach additional pages if necessary. A copy of your college transcripts may also be included. The transcripts can be either official or unofficial

#### SPECIAL PERSONAL CHARACTERISTICS

Ability to qualify for a fidelity bond; willingness to travel and work away from the headquarters office; willingness to work in a variety of settings; capacity for assuming progressively greater responsibility; tact; and good interpersonal skills.

#### POSITION DESCRIPTION

This is the advance journey or expert level of the series. The incumbents initiate, develop, or decide plans of action and evaluate and analyze work that is assigned. The status of work or the development of the problem is generally more difficult and there is greater responsibility for decisions and action. Well developed analytical skills are required at this level.

## SCOPE

### Written Test

- A. Knowledge of:
1. General accounting and auditing principles and procedures.
  2. Business law.
  3. Statistics.
  4. Information systems programs.
  5. The English language with proficiency in reading, written and grammar.
  6. How to evaluate reports generated by corresponding agencies, the industry, the institution, business firm, or service.
- B. Ability to:
1. Work arithmetical computations.
  2. Gather, organize, summarize, and interpret financial data.
  3. Analyze data and draw sound conclusions.
  4. Prepare reports.
  5. Establish and maintain cooperative relations with those contacted in the work place.
  6. Communicate effectively.
  7. Evaluate and appraise information.
  8. Analyze situations accurately and take effective action.
  9. Use a variety of spreadsheets or work processing software packages.
  10. Plan, organize, and direct the work of others.
  11. Coordinate examinations with related agencies.
  12. Conduct special studies and investigations relating to the practices of the licensee.
  13. Appraise the most difficult and complex types of reports and information.
  14. Analyze data and adopt the effective course of action.
  15. Communicate effectively so instructions can be clearly understood.
  16. Effectively apply the required technical knowledge.
  17. Conduct in-service training programs.

## ELIGIBLE LIST INFORMATION

A PROMOTIONAL-STATEWIDE eligible list will be established for the Department of Business Oversight. The list will be abolished 12 months after it is established unless the needs of the services and conditions of the list warrant a change in this warrant a change in this period.

## BACKGROUND INVESTIGATION

Competitors who are successful in this examination will be required to complete a background investigation document, on which information regarding certain arrests (regardless of conviction) and felony convictions must be divulged. Information collected on this document is distinct from that required on the Standard Application for Examination, Form STD-678, that is filled out prior to the examination. The hiring agency uses the information contained on the background investigation document to conduct background investigations and/or to determine an individual's suitability for employment

## VETERANS PREFERENCE

Effective January 1, 2014, Veterans' Preference will be awarded to qualifying Veterans who are successful in the examination in the form of Rank placement rather than points. All individuals awarded Veterans' Preference will be certified in Rank 1 of the eligibility list, regardless of score. All Open Exams/Eligible lists will award Veterans' Preference, regardless of the classification.

## GENERAL INFORMATION

**It is the candidate's** responsibility to contact the DBO Office of Human Resources at (916)445-3696 three days prior to the written test date if s/he has not received his/her notice; or three weeks after the final filing date if there is no written test.

**If a candidate's notice of oral interview** or performance test fails to reach him/her prior to the day of the interview due to a verified postal error, s/he will be rescheduled upon written request.

**Applications are available** online at [www.jobs.ca.gov](http://www.jobs.ca.gov), local offices of the Employment Development Department, and the Department of Business Oversight, 1515 K Street, Suite 200, (916) 445-6351 or at [www.dbo.ca.gov](http://www.dbo.ca.gov).

**If you meet the requirements** stated on this bulletin, you may take this examination, which is competitive. Possession of the entrance requirement(s) does not assure placement on the employment list. All candidates who pass the examination will be ranked according to their scores.

**The Department of Business Oversight** reserves the right to revise the examination plan to better meet the needs of the service if the circumstances under which this examination was planned change. Such revisions will be in accordance with civil service laws and rules and all competitors will be notified.

**Promotional Examinations Only:** Competition is limited to employees who have a permanent civil service appointment with Department of Business Oversight or must be: 1) a current or former employee of the Legislature for two or more years as defined in Government Code Section 18990; or 2) a non-elected exempt employee of the Executive Branch for two or more consecutive years as defined in Government Code Section 18992; or 3) a person retired from the United States Military, honorably discharged from active military duty with a service-connected disability, or honorably discharged from active duty as defined in Government Code Section 18991. Applicants applying under Government Code Section 18991 must provide documentation of retirement or honorable discharge from the United States Military. Under certain circumstances other employees may be allowed to compete under provisions of Rules 234, 235, and 235.2. State Personnel Board Rules 233, 234, 235, 235.2 and 237 contain provisions regarding civil service status and eligibility for promotional examinations. These rules may be reviewed at departmental personnel offices, State Personnel Board offices, or at [www.spb.ca.gov](http://www.spb.ca.gov).

**Examination Locations:** If this examination requires a written test and/or qualifications appraisal interview, it will be scheduled throughout the State as the number of candidates and conditions warrant. Qualifications appraisal interviews are scheduled in Sacramento, San Francisco and/or Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment records and personal history and fingerprinting may be required.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub-divisional promotional; 2) departmental promotional; 3) multi-departmental promotional; 4) service-wide promotional; 5) departmental open; and 6) open eligible list. When there are two lists of the same kind, the older must be used first. Eligible lists will expire in one to four years unless otherwise stated on this bulletin.

**Interview Scope:** If an interview is conducted, in addition to the scope described on this bulletin, the panel will consider education, experience, personal development, personal traits, and fitness. In appraising experience, more weight will be given to the depth, breadth and recency of pertinent experience

and evidence of the candidate's ability to accept and fulfill increasing responsibilities than to the length of his/her experience. Evaluation of a candidate's personal development will include consideration of his/her efforts toward self-development.

**Veterans' Preference:** Effective January 1, 2014, Veterans' Preference will be awarded to qualifying Veterans who are successful in the examination in the form of Rank placement rather than points. All individuals awarded Veterans' Preference will be certified in Rank 1 of the eligibility list, regardless of score. All Open Exams/Eligible lists will award Veterans' Preference, regardless of the classification.

TDD is Telecommunications Device for the Deaf and is reachable only from a phone equipped with a TDD Device.  
California Relay (Telephone) service for the deaf or hearing-impaired:  
From TDD Phone: 1-800-735-2929  
From Voice Phone: 1-800-735-2922